

Serial No.

Docket No. 134404

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: MIN-YI SHIH, ET AL

Group Art Unit:

Serial No.:

Examiner:

Filed:

For INDEX CONTRAST ENHANCED OPTICAL  
WAVEGUIDES AND FABRICATION METHODS

### INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**  
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**  
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**  
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**  
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

\_\_\_\_\_  
Date of Deposit

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☐ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

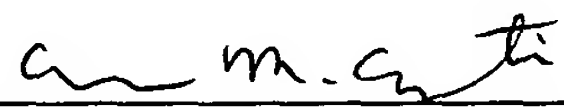
An original and two (2) copies of this document are enclosed.

Respectfully submitted,

24 JUL 2003

Date

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FORM PT-1449 (REV. 7-80) (Title Amended 3/83)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.	SERIAL NO.
		134404	
		Applicant	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT-- <u>LIST OF ITEMS</u>  (Use several sheets if necessary)		MIN-YI (NMN) SHIH, ET AL	
		Filing Date	Group

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA					
	AB					
	AC					
	AD					
	AE					
	AF					
	AG					
	AH					
	AI					
	AJ					
	AK					

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	No
	AL						
	AM						
	AN						
	AO						
	AP						

OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc)

AR	US PATENT APPLICATION, SERIAL NO. 10/306,439, FILED 11/27/02, ENTITLED "METHOD FOR MAKING OPTICAL STRUCTURES" BY THOMAS B. GORCZYCA, ATTORNEY DOCKET NO. 123180.
AS	US PATENT APPLICATION, SERIAL NO. 10/306,440 FILED 1/27/02, ENTITLED " OPTICAL DEVICE STRUCTURES BASED ON PHOTO-DEFINABLE POLYMERIZABLE COMPOSITES" BY MIN-YI SHIH, ET AL., ATTORNEY DOCKET NO. 126340.
AT	

EXAMINER	DATE CONSIDERED
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.